

**BY ORDER OF THE
SECRETARY OF THE AIR FORCE**

AIR FORCE INSTRUCTION 61-201

29 JANUARY 2016



**SCIENTIFIC, RESEARCH AND
DEVELOPMENT**

**MANAGEMENT OF SCIENTIFIC AND
TECHNICAL INFORMATION (STINFO)**

COMPLIANCE WITH THIS INSTRUCTION IS MANDATORY

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This publication implements Air Force Policy Directive (AFPD) 61-2, *Management of Scientific and Technical Information*. It provides guidance and procedures on creating, protecting, disseminating, archiving or destroying Air Force STINFO through the entire acquisition life cycle. It applies to all Air Force personnel at all levels that develop, manage, review, disseminate and/or use Air Force STINFO, including the Air Force Reserve, Air National Guard, and other organizations as required by binding agreement or obligation with the Department of the Air Force. This Air Force Instruction (AFI) may be supplemented at any level, but route all supplements that directly implement this publication to SAF/AQR for coordination prior to certification and approval. Refer recommended changes and questions about this publication to the Office of Primary Responsibility, usaf.pentagon.saf-aq.mbx.saf-aqr-workflow@mail.mil, using the AF Form 847, *Recommendation for Change of Publication*; route AF Forms 847 from the field through the appropriate functional chain of command. The authorities to waive wing/unit level requirements in this publication are identified with a Tier ("T-0, T-1, T-2, T-3") number following the compliance statement. See AFI 33-360, *Publications and Forms Management*, Table 1.1 for a description of the authorities associated with the Tier numbers. Submit requests for waivers through the chain of command to the appropriate Tier waiver approval authority, or alternately, to the Publication OPR for non-tiered compliance items. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with (IAW) Air Force Manual (AFMAN) 33-363, *Management of*

Records, and disposed of in accordance with Air Force Records Disposition Schedule (RDS) located in the Air Force Records Information Management System (AFRIMS).

SUMMARY OF CHANGES

This publication has been substantially revised and requires a complete review. It incorporates updated Department of Defense (DoD) policy and consolidates numerous Air Force instructions (AFI61-201, 61-202, 61-203, 61-204, and 61-205) to provide greater clarity concerning the processes and responsibilities of managing Air Force scientific and technical information.

Chapter 1

AIR FORCE STINFO

1.1. Overview. This instruction establishes guidance and procedures to manage STINFO throughout the acquisition life cycle. The purpose of this instruction is to maximize the availability, interchange, and collaboration of STINFO to policy makers, the acquisition community, and public while safeguarding it within the bounds of law, regulation, other directives and executive requirements. Use this AFI with Department of Defense Instruction (DoDI) 3200.12, *DoD Scientific and Technical Information Program (STIP)*; Department of Defense Manual (DoDM) 3200.14 Volume 1, *Principles and Operational Parameters of the DoD Scientific and Technical Information Program (STIP): General Processes*; DoDI 3200.20, *Scientific and Engineering Integrity*; DoDI 5230.24, *Distribution Statements on Technical Documents*; Department of Defense Directive (DoDD) 5230.25, *Withholding of Unclassified Technical Data from Public Disclosure*; AFI 16-1404, *Air Force Information Security Program*; AFI 61-101, *Management of Science and Technology*; and AFI 63-101/20-101, *Integrated Life Cycle Management*. All Air Force personnel and organizations that create, use, or handle STINFO should have an understanding of how to manage such information.

1.1.1. STINFO is a key outcome and record of Air Force basic research, applied research, and advanced technology development. Research progress and results are sent to the Defense Technical Information Center (DTIC) or other DoD approved repositories for cataloging, storage and dissemination.

1.1.2. The Air Force adheres to scientific and engineering integrity in accordance with DoDI 3200.20 to communicate, collaborate, and interchange STINFO among DoD scientists, engineers, acquisition professionals, other federal agencies, and academic, private sector, and international partners.

1.1.3. The Air Force marks all STINFO with distribution statements, regardless of the medium used.

1.1.4. The Air Force withholds all unclassified technical data that discloses critical technology or information with military or space application in the possession or under the control of a DoD Component that may not be exported lawfully without an approval, authorization, or license in accordance with DoDD 5230.25.

1.1.5. Technical information may be classified, controlled unclassified information (CUI), or unclassified publicly releasable and is controlled IAW DoDI 5210.83, DoD Unclassified Controlled Nuclear Information (UNCI), DoDM 5200.01-Volume 1, *DoD Information Security Program: Overview, Classification, and Declassification*, DoDM 5200.01-Volume 2, *DoD Information Security Program: Marking of Classified Information*, DoDM 5200.01-Volume 4, *DoD Information Security Program: Controlled Unclassified Information (CUI)*, DoDM 5205.07, Volume 4, Special Access Program (SAP) Security Manual: Marking, DoDD 5230.09, *Clearance of DoD Information for Public Release*, AFI 16-1404, *Air Force Information Security Program* and AFI 35-102, *Security and Policy Review*.

1.2. Applicability.

1.2.1. The acquisition and documentation of STINFO is applicable to Air Force Basic Research, Applied Research, and Advanced Technology Development (RDT&E budget activity categories 6.1, 6.2, and 6.3, respectively) in accordance with DoDI 3200.12.

1.2.2. The distribution, control, and dissemination of STINFO is applicable to Air Force RDT&E, Procurements and Operations and Maintenance (O&M) efforts in accordance with DoDI 5230.24 and DoDD 5230.25.

1.2.2.1. STINFO that is subject to this instruction includes any information that can be used, or adapted for use, to design, produce, manufacture, assemble, test, operate, maintain, repair, overhaul, or reproduce any United States military system equipment or software or technology concerning such equipment.

1.2.2.2. O&M technical data supporting sustainment, logistics, maintenance, repair, supply, and testing that are subject to the restrictions of DoDI 5230.24 are maintained, disseminated, and controlled by the cognizant heads of Air Force sustainment and life-cycle management centers, consistent with this instruction.

1.2.3. This instruction does not apply to Air Force programs involving day-to-day operations used by the warfighter (unless required for scientific and technical analysis), Air Force STINFO produced by the intelligence community, or to signals intelligence and communications security information as defined by DoDI O-3115.07, *Signals Intelligence (SIGINT)*, and DoDI 8523.01, *Communications Security (COMSEC)*.

1.3. Roles and Responsibilities.

1.3.1. Assistant Secretary of the Air Force, Acquisition (SAF/AQ) will:

1.3.1.1. Develop Air Force policy on the distribution, control, dissemination, and use of STINFO during the pre-acquisition phase and through the entire life cycle.

1.3.2. Deputy Assistant Secretary of the Air Force for Science, Technology and Engineering (SAF/AQR) will:

1.3.2.1. Serve as the Air Force STINFO Manager and focal point for all Air Force STINFO matters to the Assistant Secretary of Defense for Research and Engineering (ASD[R&E]), DTIC, and the other Services.

1.3.2.2. Provide guidance and oversight of STINFO matters to include creating, acquiring, documenting, marking, protecting, disseminating, withholding, , archiving, and destroying.

1.3.2.3. Delegate, as necessary, the authority to withhold controlled unclassified technical data. Authorities include identifying classes of technical data to withhold, acting on appeals for denials of technical data release, temporarily revoking a contractor's qualification, receiving and evaluating requests for reinstatement of a contractor's qualification, and recommending a contractor's disqualification to the ASD(R&E).

1.3.2.4. Provide support on STINFO matters to the Air Force Security Enterprise and Mission Assurance Steering Group (SEMA SG), and the Security Enterprise and Mission Assurance Working Group (SEMA WG).

1.3.2.5. Promote a culture of scientific and engineering ethics to assure the integrity of Air Force research and engineering activities and information.

1.3.3. Major Commands (MAJCOM) will:

1.3.3.1. Ensure STINFO is correctly marked, distributed and controlled.

1.3.3.2. Ensure work-in-progress data and final results of Air Force funded or conducted basic research, applied research, and advanced technology development is sent to DTIC.

1.3.3.3. Designate a STINFO manager, as appropriate, to develop and oversee a program ensuring the proper marking, dissemination, protection, archiving and destruction of Air Force STINFO.

1.3.3.4. Train and educate personnel on the fundamentals of Distribution Statement markings. Training and education materials are available in the Acquisition Workbench STINFO Module.

1.3.3.5. Promote communication, collaboration, and interchange of STINFO among the DoD, federal agencies, and the general public.

1.3.4. Air Force Units Responsible for STINFO will:

1.3.4.1. Establish and oversee the Command STINFO program and designate a unit STINFO manager, as appropriate. (T-2).

1.3.4.2. Conduct literature searches within six months of beginning or making significant changes to a technical effort in basic research (budget activity 6.1), applied research (budget activity 6.2), or advanced technology development (budget activity 6.3). (T-1).

1.3.4.3. Send to DTIC or other DoD approved repositories work-in-progress data within 30 days of the start of an effort, and annually thereafter until effort is completed, cancelled or terminated. (T-1).

1.3.4.4. Document and send to DTIC or other DoD approved repositories all significant scientific or technological observations, findings, recommendations, and results, regardless of outcome, of Air Force basic research (budget activity 6.1), applied research (budget activity 6.2), or advanced technology development (budget activity 6.3) efforts within 180 days of completion. (T-1).

1.3.4.5. Apply appropriate Distribution Statements and destruction notices on STINFO resulting from RDT&E, Procurement and O&M efforts to indicate any secondary distribution or export control limitations. (T-0).

1.3.4.6. Verify eligibility for access to DoD technical information for all requesters. Non-DoD requesters are processed IAW DoDD 5230.25. (T-0).

1.3.4.7. Coordinate STINFO matters with appropriate offices, including the Office of Research and Technology Application, relevant technical libraries, Foreign Disclosure Office (FDO), Judge Advocate General (JAG), Public Affairs (PA), Information Assurance, Information Protection, Freedom of Information Act (FOIA), and Operations Security (OPSEC) Offices. (T-2).

1.3.4.8. Coordinate with contracting offices to ensure contracts contain requirements for government-defined Distribution Statements, export control warnings, destruction

notices, intellectual property clauses, and, where appropriate, American National Standard Institute (ANSI) standards for deliverable STINFO. (T-2).

1.3.4.9. Ensure that all records are maintained and managed in accordance with National Archives and Records Administration's approved dispositions to ensure proper maintenance, use, accessibility, and preservation, regardless of format or medium as directed by DoDD 5015.2, *DoD Records Management Program*, AFMAN 33-363, *Management of Records*, and the Air Force Records Information Management System (AFRIMS). (T-0).

1.3.4.10. Ensure workforce completes annual STINFO training using the STINFO education courses in the Acquisition Workbench, to maintain awareness of policy and procedures regarding proper marking, dissemination, withholding, protecting, archiving, and destroying of STINFO. (T-3).

1.3.4.11. Handle unclassified STINFO marked with Distribution Statements B, C, D, E, or F in the same manner as FOUO material per DoDI 5230.24.

1.3.4.12. Destroy unclassified STINFO documents by any method that will prevent disclosure of contents or reconstruction of the document IAW DoDI 5230.24. Destroy classified STINFO documents IAW AFI 16-1404, Air Force Information Security Program.

1.3.4.13. Protect STINFO documents by encryption when transmitting via email IAW AFI 10-701, Operations Security (OPSEC) and AFMAN 33-152, User Responsibilities and Guidance for Information Systems.

Chapter 2

MANAGING STINFO

2.1. Overview. The Air Force will promote communication, collaboration, and interchange of scientific and engineering information among federal agencies and the general public by encouraging the presentation of STINFO in an unclassified, unrestricted forum IAW DoD, Air Force and local clearance procedures and within the limits of law, government data rights, and national security requirements.

2.1.1. The Air Force will utilize technical symposia and professional societies as an effective mechanism for transfer and exchange of STINFO as well as supporting the professional development of Air Force scientists and engineers.

2.1.2. The Air Force will adhere to scientific and engineering integrity in accordance with DoDI 3200.20 to promote and instill a culture of collaboration and interchange of STINFO among DoD, other government agencies, and academic, private sector, and international partners.

2.2. Documenting STINFO.

2.2.1. Within six months of beginning or making significant changes to continuing research (budget activity 6.1), applied research (budget activity 6.2), or advanced technology development (budget activity 6.3) efforts, Air Force personnel conduct preliminary and periodic searches of research in progress and completed research to define the technology baseline, avoid duplication of effort, and justify investment.

2.2.1.1. Research efforts subject to literature searches include initiating any in-house effort, arranging for work to be performed by other Government agencies, requesting contractual services, proposal reviews for Broad Agency Announcement (BAA) contract awards, significant changes to ongoing efforts, and confirming the uniqueness of subject matter and innovations of unsolicited proposals.

2.2.1.2. Literature searches are not necessary for equipment, maintenance, routine engineering, training, and conferences.

2.2.2. Work-in-progress data at the performer level for technical efforts research (budget activity 6.1), applied research (budget activity 6.2), or advanced technology development (budget activity 6.3) sponsored in whole or in part by the Air Force are sent to DTIC or other DoD approved repositories within 30 days of the start of an effort and annually thereafter until effort is completed, cancelled or terminated.

2.2.2.1. This includes research efforts performed by DoD laboratories, other federal laboratories, Federally Funded Research and Development Centers (FFRDCs), contractors, educational institutions, and private individuals. Research efforts may be in the form of contracts, grants, cooperative research and development agreements, studies and analysis efforts, contracted advisory and assistance services, technically distinct tasks under task-order contracts, and other transactions.

2.2.2.2. Work-in-progress data includes, but is not limited to, the entity performing the task, performance dates, funding, and technical summary for technical efforts in research

(budget activity 6.1), applied research (budget activity 6.2), or advanced technology development (budget activity 6.3).

2.2.2.3. Data may be submitted manually or automatically uploaded to DTIC unified research and engineering database (URED) that can be accessed through the DTIC website.

2.2.3. All significant scientific or technological observations, findings, recommendations, and results that are derived from research (budget activity 6.1), applied research (budget activity 6.2), or advanced technology development (budget activity 6.3) efforts sponsored in whole or in part by the Air Force are documented and sent to DTIC or other approved repository within 180 days after completing the work. Classified documents that are not accepted by DTIC or other DoD approved repository, are exempt.

2.2.3.1. The Air Force or external organization responsible for each research effort submits to DTIC data that documents the effort to enable others to understand the purpose, scope, approach, results or outcomes, and conclusions or recommendations.

2.2.3.2. The documentation should contain a summary of work accomplished, to include positive and negative results. It describes theoretical studies, experimental work, design, theory of operation, test procedures, test results, drawings, charts, graphs, illustrations, or other material needed to clarify the presentation.

2.2.3.3. Primary sources of the information are also submitted. Providing citations to where the information may be found is not sufficient. The documentation should contain sufficient detail to allow the methods to be replicated and the results compared.

2.2.3.4. Findings may be expressed in a range of products, such as technical reports, conference papers and presentations, briefing charts, theses and dissertations, scientific and technical computer software, journal articles, workshop reports, program documents, patents, and scientific research datasets, or other types of data.

2.2.3.5. If an external organization responsible for a research effort elects to submit materials protected by copyright, such as peer-reviewed journal articles, as part of its documentation of the effort, DTIC makes the information available consistent with the license afforded to the government under the terms and conditions of the applicable contract, grant, cooperative agreement, or other type of transaction.

2.2.3.6. The Standard Form (SF) 298, "Report Documentation Page," should be completed for each documented effort. To the greatest extent practical, prepare scientific and technical reports, regardless of media or form, IAW ANSI/NISO Z39.18-2005.

2.3. Managing Distribution of STINFO.

2.3.1. All Air Force offices generating or responsible for STINFO resulting from RDT&E, Procurement and O&M efforts will determine the Distribution Statement and mark it appropriately before primary distribution.

2.3.2. Distribution statements are used on unclassified, controlled unclassified, and classified technical information to identify the availability for secondary distribution, release, and disclosure without additional approvals and authorizations from the controlling DoD office (CDO) (office generating or responsible for the information). Distribution statements are

used in addition to applicable classification, dissemination control markings and intellectual property notices.

2.3.3. STINFO intended for limited or controlled distribution includes RDT&E, Procurement and O&M data that can be used, or adapted for use, to design, produce, manufacture, assemble, test, operate, maintain, repair, overhaul, or reproduce any United States military system equipment or software or technology concerning such equipment.

2.3.3.1. Technical information formats and types include, but are not limited to, models, prototypes, blueprints, photographs, plans, instructions, operating manuals, engineering drawings, engineering data and associated lists, standards, specifications, technical manuals, technical reports, technical orders (TO), computer software and documentation, catalog-item identifications, data sets, studies and analyses.

2.3.4. The CDO assigns Distribution Statements and their corresponding reasons IAW DoDI 5230.24 on all newly created, revised, or previously unmarked unclassified and classified Air Force technical documents, regardless of media or format.

2.3.4.1. Distribution statements are displayed conspicuously on all technical documents regardless of media or format. For standard written or printed material the Distribution Statement is shown on all pages to the maximum extent practical and at a minimum on the front cover, title page, and SF 298, where applicable. If the technical information is digitally prepared or in any other medium that does not have a cover or title page, the applicable Distribution Statement is affixed to all physical and digital items by other means in a conspicuous position for ready recognition.

2.3.4.2. Portions or pages of a document or compilation may have different Distribution Statements that would govern their distribution if separated from the main document. The most restrictive distribution on its parts applies to the document as a whole. When possible or appropriate, those parts of the document that contain CUI are prepared as an attachment, addendum, annex, enclosure, or similar section to allow separate dissemination of the basic document at the lowest level of restriction and to the widest audience.

2.3.4.3. Technical documents in preliminary or working draft form will be marked with a temporary notice and/or Distribution Statement indicating a pending security classification and/or Distribution Statement prior to review. If the appropriate Distribution Statement is not yet determined, limit dissemination to DoD Components only (Distribution Statement E).

2.3.4.4. Distribution Statements remain in effect until changed or removed by the CDO. Removal of or tampering with control markings by unauthorized personnel is strictly prohibited.

2.3.5. Prior to release to the public unclassified technical documents, the CDO must have the documents approved for release by the local Public Affairs (PA) office or authorized public release authority. Ensure documents submitted to PA for public release are in final format, and not marked "draft" per AFI 35-102, paragraph 8 and 9.2.1.

2.3.5.1. Technical documents resulting from contracted basic research (budget activity 6.1) and applied research (budget activity 6.2) efforts performed on-campus at a

university are normally assigned Distribution Statement A without requiring PA office review. Do not use Distribution Statement A in circumstances where there is a high likelihood of disclosing performance characteristics of military systems or of manufacturing technologies that are unique and critical to defense. In such cases, the performer should contact the CDO to determine Distribution Statement.

2.3.6. Unclassified technical documents subject to controls on the access, use, reproduction, modification, performance, display, release, disclosure, or dissemination are not releasable to the public. They are marked with an appropriate Distribution Statement, and handled using the same standard as For Official Use Only (FOUO) material prescribed in DoDI 5230.24 and Air Force Information Security Regulations.

2.3.7. Technical documents that have not been assigned a Distribution Statement must be handled as Distribution Statement E (equivalent to “For Official Use Only (FOUO)”) until reviewed/changed by the CDO.

2.3.8. Classified technical documents are not releasable to the public and are assigned the appropriate Distribution Statement, IAW DoDI 5230.24. The Distribution Statement assigned to a classified technical document is retained on the document after its declassification or until changed or removed by the CDO. Declassified technical documents without an assigned Distribution Statement are handled as Distribution “E” (equivalent to For Official Use Only (FOUO)) until reviewed/changed by the CDO.

2.3.9. When technical information is delivered to the Government with a contractor or third party-imposed intellectual property marking, those markings must be verified and the appropriate Distribution Statement must be applied IAW DoDI 5230.24, Enclosure 5, Third Party-Imposed Distribution Statements. The appropriate Distribution Statement is entirely dependent on the scope of the Government’s rights to use those materials. In most cases, the reason “Proprietary Information” provides the basis for Distribution Statements B, E, or F. When used as the reason for limitation, note the Government’s license rights as described in subparagraph 2.a.(1) of DoDI 5230.24, Enclosure 5 in parentheses (i.e., Proprietary Information (DFARS Limited Rights) or Proprietary Information (DFARS SBIR Rights)). If the Government has “Unlimited Rights” in the information, then the materials may even qualify for Distribution Statement A, after appropriate clearance procedures IAW DoDD 5230.09 and DoDI 5230.29.

2.3.9.1. Do not just assume third party-imposed proprietary markings are accurate. In many cases, third parties unfamiliar with Government marking requirements improperly place restrictive markings on technical information. Failure to timely challenge any improperly placed restrictive markings may result in the loss of Government licensing rights. Ordinarily, the comprehensive basis for the Government’s licensing rights is provided in a legally binding instrument that governs the transaction under which the Government received the proprietary information (e.g., the procurement contract, grant, cooperative agreement, or other transaction agreement).

2.3.10. All printed and electronic technical documents that are determined to contain export-controlled technical data are not public releasable and are assigned an appropriate Distribution Statement with “Export Controlled” as a reason for limitation and marked with an export control warning statement as detailed in DoDI 5230.24, Enclosure 4.

2.4. Disseminating and Withholding STINFO.

2.4.1. Dissemination beyond the audience stated in the Distribution Statement must be reviewed and approved for release by the CDO.

2.4.2. Make unclassified technical data governed by DoDD 5230.25 available IAW DoDI 5230.24, DoDD 5230.09, *Clearance of DoD Information for Public Release*, DoDI 5230.29, *Security and Policy Review of DoD Information for Public Release*, and DoDD 5400.07, *DoD Freedom of Information Act (FOIA) Program*.

2.4.3. The Air Force may withhold from public disclosure any of its technical data with military or space application if such data may not be exported lawfully without an approval, authorization, or license in accordance with export control laws and regulations identified in DoDD 5230.25. This includes Air Force O&M technical data for items on the United States Munitions List or Commerce Control List which are export controlled and are exempt from release to the general public under the FOIA.

2.4.4. The CDO may authorize release of export-controlled technical data to currently qualified contractors as defined in DoDD 5230.25. Contractors must have a valid DD Form 2345, Military Critical Technical Data Agreement and the documents can only be sent to the document custodian (Blocks 2 and 3 of DD Form 2345).

2.4.4.1. Any release of export-controlled technical data to qualified contractors is accompanied by a notice to the recipient as set forth in DoDD 5230.25, Enclosure 5.

2.4.4.2. Qualified U.S. contractors who receive export-controlled technical data may disseminate such data consistent with the direction in DoDD 5230.25, Paragraph 5.8.

2.4.5. Technical data with “limited rights” or “restricted rights” as defined in subsections 9-201(c) and 9-604(j) of the DoD Federal Acquisition Regulation Supplement (DFARS) or that are authorized to be withheld from public disclosure under the Freedom of Information Act (FOIA) may not be released. The CDO may withhold technical information from contractors if:

2.4.5.1. The qualification of the contractor concerned has been temporarily revoked.

2.4.5.2. The requested data are judged to be unrelated to the purpose for which a qualified contractor is certified.

2.4.5.3. The technical data are being requested for a purpose other than to permit the requester to bid or perform on a contract with the DoD or other Government agency, and the significance of such data is such that release may jeopardize an important U.S. technological or operational advantage.

2.4.6. Provide any requester denied technical data with a written statement of reasons for that action, and advise them of the right to make a written appeal of such determination to SAF/AQR per DoDD 5230.25.

2.4.7. SAF/AQR will revoke temporarily a U.S. contractor’s qualification and notify the contractor, SAF/AQ, ASD(R&E),DTIC, and appropriate law enforcement agencies upon receipt of credible and sufficient information from DoD personnel that a qualified U.S. contractor has violated U.S. export control law, violated its certification, made a certification in bad faith, or made an omission or misstatement of material fact.

2.4.7.1. The contractor is given an opportunity to respond in writing to the information upon which the temporary revocation is based before being disqualified.

2.4.7.2. SAF/AQR may reinstate any U.S. contractor whose qualification has been revoked temporarily upon presentation of sufficient information showing that the basis for such revocation was in error or has been remedied.

2.4.7.3. SAF/AQR may recommend disqualification of the contractor when the basis for a contractor's temporary revocation cannot be removed within 20 working days. SAF/AQR will coordinate with the judge advocate and general counsel and make a disqualification recommendation to SAF/AQ and ASD(R&E), in turn.

2.4.8. Redirect requests for STINFO received from a certified U.S. contractor performing a foreign military sales (FMS) program to the foreign disclosure office for approval. Prior to initiation, all foreign cooperative science and technology programs will seek approval from the appropriate foreign disclosure and technology transfer agency to ensure compliance with 22 USC 2778 of the Arms Export Control Act.

2.4.8.1. Requests for STINFO from foreign contractors who are not bidding or performing on a Government contract, should be made through their embassy. The embassy may submit the request to the Deputy Undersecretary of the Air Force for International Affairs (SAF/IA), Country Director. (See AFPD 16-2, *Disclosure of Military Information to Foreign Governments and International Organizations.*)

2.4.8.2. For dissemination of export-controlled technical data to foreign contractors bidding or performing on a government contract, ensure the request for proposal or contract contains non-disclosure or contractual language obligating the contractor to properly protect and manage export-controlled technical data in lieu of a DD Form 2345. Additionally, the contractor shall meet International Traffic In Arms Regulations (ITAR), 22 CFR 125 - Licenses for the Export of Technical Data and Classified Defense Articles, requirements for export of technical data. TO requests are submitted IAW TO 00-5-19, Security Assistance Technical Order Program.

RICHARD W. LOMBARDI
Acting Assistant Secretary of the Air Force
(Acquisition)

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

References

- DoDI 3200.12, *DoD Scientific and Technical Information Program (STIP)*, August 22, 2013
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- AFI 16-1604, *Air Force Information Security Program*, May 29, 2015
- AFI 33-360, *Publications and Forms Management*, December 1, 2015
- AFI 35-102, *Security and Policy Review Process*, October 20, 2009
- AFI 61-101, *Management of Science and Technology*, March 14, 2013
- AFI 63-101, *Integrated Life Cycle Management*, March 7, 2013

AFMAN 33-363, *Management of Records*, March 1, 2008

TO 00-5-3, Life cycle Management, December 31, 2009

TO 00-5-19, Security Assistance Technical Order Program, 18 February, 2010

ANSI/NISO Z39.18-205, Scientific and Technical Reports – Preparation, Presentation, and Preservation

Adopted Forms

AF Form 847, *Recommendation for Change of Publication*

SF 298, Report Documentation Page

DD Form 2345, *Military Critical Technical Data Agreement*

Abbreviations and Acronyms

AFI—Air Force Instruction

AFMAN—Air Force Manual

AFPD—Air Force Policy Directive

AFRIMS—Air Force Records Information Management System

ANSI—American National Standards Institute

ASD (R&E)—Assistant Secretary of Defense for Research and Engineering

BAA—Broad Agency Announcement

COMSEC—Communications Security

CDO—Controlling DoD Office

CUI—Controlled Unclassified Information

DoD—Department of Defense

DoDD—Department of Defense Directive

DoDI—Department of Defense Instruction

DoDM—Department of Defense Manual

DTIC—Defense Technical Information Center

FDO—Foreign Disclosure Office

FFRDC—Federally Funded Research and Development Centers

FOIA—Freedom of Information Act

FOUO—For Official Use Only

IR&D—Independent Research and Development

ITAR—International Traffic in Arms Regulations

MAJCOM—Major Command

O&M—Operations and Maintenance

PA—Public Affairs

RDS—Records Disposition Schedule

RDT&E—Research, Development, Test, and Evaluation

SAF/AQ—Assistant Secretary of the Air Force (Acquisition)

SAF/AQR—Deputy Assistant Secretary of the Air Force (Science, Technology, Engineering)

SAF/IA—Deputy Undersecretary of the Air Force for International Affairs

SF—Standard Form

SIGINT—Signals Intelligence

STIP—Scientific and Technical Information Program

TO—Technical Order

URED—Unified Research and Engineering Database

USML—United States Munitions List

Terms

Advanced Technology Development—Research efforts that have moved beyond Applied Research and into the development and integration of hardware for field experiments and tests. Also referred to as “6.3” or RDT&E Budget Activity Code 3.

Applied Research—Systemic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met. Also referred to as “6.2” or RDT&E Budget Activity Code 2.

Arms Export Control—The law set out in 22 U.S.C. 27512794. This requires obtaining a license from the Department of State for exporting Defense articles and services, including technical data related to weapons. It is implemented by the International Traffic in Arms Regulations (ITAR) set out in 22 CFR 121130.

Basic Research—Systemic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific application towards processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, and life sciences related to long-term national security needs. It is farsighted high payoff research that provides the basis for technological progress. Also referred to as “6.1” or RDT&E Budget Activity Code 1.

Budget Activity—A broad category of activity contained within a specific appropriation.

Controlling DoD Office (CDO)—The Air Force activity that sponsored the work that generated the technical data or received the technical data acts as the CDO for the Department of Defense and, therefore, has the responsibility for determining the distribution of a document containing such technical data. For joint sponsorship, the controlling office is determined by advance agreement and may be a party, group, or committee representing the interested activities or the

DoD Components. Only the CDO or higher authority may authorize distribution beyond the distribution statement.

Controlled Unclassified Information (CUI)—Unclassified information that requires safeguarding or dissemination controls, pursuant to and consistent with applicable law, regulations, and Government-wide policies.

Distribution Statement—A statement used in marking a technical document, regardless of publication media or form, to denote the extent of its availability for secondary distribution, release, and disclosure without additional approvals and authorizations from the controlling DoD office.

Defense Technical Information Center (DTIC)—Collects, indexes, catalogs, and provides storage for scientific and technical information obtained from DoD Components and their contractors, non-DoD domestic sources and foreign sources. Maintains and operates centralized databases of technical and management-related information describing the content and scope of research and engineering programs. Is under the authority, direction, and control of the Assistant Secretary of Defense for Research and Engineering.

Export-Controlled Technical Data—Data that cannot be lawfully exported without the approval, authorization, or license under U.S. export control laws. The controlling regulations and documents are the Export Administration Regulations, the International Traffic in Arms Regulations (ITAR), and the U.S. Munitions List (USML).

Freedom of Information Act (FOIA)—FOIA is a Federal law that establishes the public's right to request existing records from Federal Government Agencies. The FOIA program is governed by DoD 5400.7-R_AFMAN 33-302, Freedom of Information Act Program.

Independent Research and Development (IR&D) Database—The IR&D database contains descriptions of R&D projects initiated by DoD contractors but not performed under contract.

Intellectual Property—Refers to a number of distinct types of creations of the mind for which property rights are recognized--and the corresponding fields of law. Under intellectual property law, owners are granted certain exclusive rights to a variety of intangible assets, such as musical, literary, and artistic works; discoveries and inventions; and words, phrases, symbols, and designs. Common types of intellectual property include copyrights, trademarks, patents, industrial design rights and trade secrets in some jurisdictions.

Legitimate Business Relationship—A legitimate business relationship exists when the DoD has determined that a need exists to acquire, share, exchange, or disseminate DoD technical information to anyone other than a DoD Government employee for supporting the DoD mission. That relationship may be established by any agreeable means such as a memorandum of understanding, agreement, contract, or grant. The DoD has the sole responsibility for determining that a legitimate business relationship exists since the only purpose is to provide access to information created by or under the control of the DoD. Such a relationship may be established with an individual or organization in another Federal department or agency; contractors, grantees, potential DoD contractors; other branches of the Federal Government; State and local governments; and foreign countries.

Primary Distribution—Distribution of scientific and technical information by the controlling DoD office. Includes initial distribution as well as any subsequent, case-by-case distribution during the life of the information made by the controlling DoD office.

Qualified U.S. Contractor—Defined in paragraph 3.2 in DoDD 5230.25.

Research Summary—A research summary is a set of data elements that describes, for distinct RDT&E efforts, what is being accomplished, the performer, location, sponsor, cost, and progress-to-date.

Scientific and Technical Information (STINFO)—Findings and technological innovations resulting from research and engineering efforts and science and technology work of scientists, researchers, and engineers, whether contractor, grantee, or federal staff. Scientific and technical information also conveys the results of demonstration and commercial application activities as well as experiments, observations, simulations, war games, studies, and analyses. Scientific and technical information is found in many forms and formats including textual, graphical, numeric, multimedia, and digital data, technical reports, scientific and technical conference papers and presentations, theses and dissertations, scientific and technical computer software, journal articles, workshop reports, program documents, system concepts, patents, and other forms or formats of technical data. Scientific and technical information may be classified, controlled unclassified information (including export controlled or personally identifiable information), or unclassified publically releasable. DoD-funded scientific and technical information originates primarily from research and other activities performed by direct DoD-executed prime procurements, DoD-operated research activities, and financial assistance recipients, as well as DoD employees.

Secondary Distribution—Release of technical documents by other than the controlling DoD office, or without the need to refer requests for release of technical information to such office for a dissemination decision. A distribution statement audience applies to secondary distribution, and requests by parties or entities not included in the distribution stated audience must be reviewed by the controlling DoD office for consideration of release or denial. Secondary distribution includes loaning, allowing the reading, or releasing a document outright, in whole, or in part.

Technical Document—Any recorded information that conveys scientific and technical information or technical data. This includes such informal documents as working papers, memoranda, and preliminary reports when such documents have utility beyond the immediate mission requirement or will become part of the historical record of technical achievements.

Technical Information—This term is broader in scope than the Scientific and Technical Information definition and is applicable when determining distribution statements for technical documents from RDT&E and O&M efforts. It includes technical data or computer software of any kind that can be used, or adapted for use, in the design, production, manufacture, assembly, repair, overhaul, processing, engineering, development, operation, maintenance, adapting, testing, or reconstruction of goods or material; or any technology that advances the state of the art, or establishes a new art, in an area of significant military applicability in the United States. The data may be in tangible form, such as a blueprint, photograph, plan, instruction, or an operating manual, or may be intangible, such as a technical service or oral, auditory, or visual descriptions. Examples of technical data include research and engineering data, journal articles, workshop reports, program documents, patents, data sets, engineering drawings and associated

lists, catalog-item identifications, specifications, standards, process sheets, technical manuals, technical reports, technical orders, studies and analyses.

Technical Orders (TO)—Technical Manuals developed to support maintenance and operation of centrally-procured and managed Air Force weapon systems and equipment. The Air Force Technical Orders System manages and distributes Technical Orders. The term Technical Order is equivalent to the DoD term Technical Manual.

Technical Report—Any preliminary, interim, or technical document (regardless of media) prepared to record, document, share results, or make recommendations on or relating to DoD-sponsored or cosponsored scientific, technical studies, or analytical work. Technical Reports normally detail empirical findings and include ancillary information necessary for interpreting, applying, and replicating the results or techniques of an investigation.

Test Report—Reports of tests that document procedures and results of subjecting items, systems, materials, personnel or techniques to simulated or actual operational conditions to determine characteristics, suitability, and compliance with specific requirements.

URED—A consolidated data base of Research Summaries, Research and Engineering Database, and In-House Science and Technology Activities Report. A major purpose of the databases is to collect information about research and development that is funded by the Department of Defense.

U.S. DoD Contractor—Those qualified U.S. contractors currently holding grants or contracts with the Department of Defense, or those contractors declared eligible for DoD information services by a sponsoring DoD activity on the basis of participation in a DoD Potential Contractor Program.